



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

# UTILITY APPLICATION AND FEE TRANSMITTAL (1.53(b))

Box Pat	ISSIONE ent Appli gton, D.C							
Sir:								
Transmi	itted here	with for filing is the patent application of						
All Inve	entors ag Addres	David P. Greene,; Stephen J. Boies; Sam Dinkin; Paul Andrew Moskowitz; and Philip Shi-Lung Yu;						
For:		M AND METHOD FOR "SWAPS" STYLE RISK PRODUCTS BASED ON NETWORK LED AGGREGATION						
Enclose	d are							
[]_20	_page(s)	of specification, 1 page(s) of Abstract, 8 page(s) of claims						
[] 11 applicat		f drawing (Figs 1, 2a-2g, 3a-3c) [X] formal [] informal (as originally filed in the parent						
[X] <u>3</u>	[X] Uns	s) of Declaration and Power of Attorney igned vly Executed by from prior application  [ ] Deletion of inventors including Signed Statement under 37 C.F.R. § 1.63(d)(2)						
[]	Incorporation by Reference: The entire disclosure of the prior application, from which a copy of the combined declaration and power of attorney is supplied herein, is considered as being part of the disclosure of the accompanying application and is incorporated herein by reference.							
[ ]	Microfiche Computer Program (Appendix)							
[ ]	pag	page(s) of Sequence Listing						
	[]	computer readable disk containing Sequence Listing						
	[ ]	Statement under 37 C.F.R. § 1.821(f) that computer and paper copies of the Sequence Listing are the same						
[]	Assignment Papers (assignment cover sheet and assignment documents)							
	[]	Charge Fee(s) \$40.00 for recording the Assignment to Deposit Account No. 13-4500 Order No. 1963-5006. A DUPLICATE COPY OF THIS SHEET IS ATTACHED						

# Express Mail Label No. EL 762529295 US

	[ ]	Assignment papers filed in parent application Serial No							
	[]	Certification of chain of title pursuant to 37 C.F.R. § 3.73(b).							
[]	Foreig	n priority is claimed under 35 U.S.C. § 119 from Patent Application(s) No dated							
	[]	Priority document(s) will be submitted at a later date.							
	[]	Priority document(s) is/are submitted herewith.							
[]	Inform	Information Disclosure Statement							
	[ ]	Copy of _ cited references							
[]	Prelim	inary Amendment							
[X]	Return	receipt postcard (MPEP 503)							
[]	a [ ] continuation [ ] divisional [ ] continuation-in-part (C-I-P) of prior application serial no.								
	[ ]	Cancel in this application original claims of the parent application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)							
	[ ]	A preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application.							
[]	The sta	The status of the parent application is as follows:							
	[ ]	A Petition For Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until							
	[ ]	A copy of the Petition for Extension of Time in the co-pending parent application is attached.							
	[ ]	No Petition For Extension of Time and Fee therefor are necessary in the co-pending parent application.							
[ ]	when t	ease abandon the parent application at a time while the parent application is pending or at a time en the petition for extension of time in that application is granted and while this application is adding has been granted a filing date, so as to make this application co-pending.							
	[]	Transfer the drawing(s) from the patent application to this application.							
[]		the specification by inserting before the first line the sentence: a [ ] continuation [ ] divisional [ ] continuation-in-part of co-pending application Serial filed							

[]

I.	CALCULATIO	N OF AP	PLICAT	<u>'ION FEI</u>	3				
	***	_					•	-	Basic Fee
	Number Filed		Numbe	er Extra		Rate			\$690.00
Total									
Claims	27		-20=	7		_ X	\$18.00		\$ 126.00
Independent									
Claims	3		-3=	0		x	\$0.00		\$ 0.00
Multiple Deper	ndent Claims								
		[]yes	Additio	onal fee	=	\$260.00	\$		\$ -0-
		[X] no	Additio	onal fee	=	NONE			
								Total:	\$ <u>816.00</u>

. ,	application and its benefit under 37 C.F.R. § 1.28(a) is hereby claimed. Reduced fees under 37 C.F.R. § 1.9(F) (50% of total) paid herewith \$
[X]	A check in the amount of \$816.00 in payment of the application filing fees is attached.
[]	Charge Fee(s) to Deposit Account No. 13-4500 Order No A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
[X]	The Commissioner is hereby authorized to charge any additional fees which may be required for filing this application, or credit any overpayment to Deposit Account No. 13-4500, Order No. 1963-5006. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

A statement claiming small entity status is attached or has been filed in the above-identified parent

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: December 27, 2000

Robert M. Pollaro Registration No. 45,019

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#### **PATENT**

## IBM Docket No. YOR9-2000-0304 (1963-5006)

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s):

David P. Greene

Stephen J. Boies Samuel Dinkin Paul A. Moskowitz

Philip S. Yu

Serial No.:

To Be Assigned

Filed:

Herewith

For:

SYSTEM AND METHOD FOR "SWAPS" STYLE RISK PRODUCTS

BASED ON NETWORK ENABLED AGGREGATION

### **EXPRESS MAIL CERTIFICATE**

Express Mail Label No. EL 762529295 US

Date of Deposit: December 27, 2000

I hereby certify that the following attached paper(s) and/or fee

- 1. Utility Application and Application Fee Transmittal (in duplicate) (3 sheets);
- 2. Specification (20 pages), claims 1-27 (8 pages), abstract (1 page), 11 sheets of drawings (FIGS. 1, 2a-2g, 3a-3c);
- 3. Declaration And Power Of Attorney For Patent Application (3 sheets unexecuted); and
- 4. Return postcard.

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Commissioner Of Patents, BOX PATENT APPLICATION, Washington, D.C. 20231.

F. Garcia

(Typed or printed name of person mailing paper(s) and/or fee)

(Signature of person mailing

paper(s) and/or fee)

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